

07/03/01  
S. Please type a plus sign (+) inside this box [+] PTO

07-05-01 A.

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 80398.P448  
(maximum 12 characters)

First Named Inventor Ravi Gauba

Title: INTERACTIVE DECISION-MAKING SCENARIOS IN AN AUDIO/VIDEO BROADCAST

Express Mail Label No. EL371005914US

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Applicant Claims Small Entity Status. (37 CFR 1.27)
3.  Specification (Total Pages 22)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawings(s) (35 USC 113) (Total Sheets 5)
5.  Oath or Declaration (Total Pages 6)
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i.  DELETIONS OF INVENTOR(S) Signed statement attached deleting  
inventor(s) named in the prior application, see 37 CFR 1.63(d)(2)  
and 1.33(b).
    - c.  Unsigned.
6.  Application Data Sheet. (37 CFR 1.76)
7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8.  Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

9.	<input checked="" type="checkbox"/>	<b>Assignment Papers (cover sheet &amp; documents(s))</b>
10.	<input type="checkbox"/>	a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)
	<input checked="" type="checkbox"/>	b. Power of Attorney
11.	<input type="checkbox"/>	English Translation Document (if applicable)
12.	<input type="checkbox"/>	a. Information Disclosure Statement (IDS)/PTO-1449
	<input type="checkbox"/>	b. Copies of IDS Citations
13.	<input type="checkbox"/>	<b>Preliminary Amendment</b>
14.	<input checked="" type="checkbox"/>	<b>Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</b>
15.	<input type="checkbox"/>	Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.	<input type="checkbox"/>	<b>Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). <u>Applicant must attach form PTO/SB/35 or its equivalent.</u></b>
17.	<input checked="" type="checkbox"/>	Other: <u>Certificate of Express Mail with copy of postcard showing contents of Express Mail package.</u>

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

Continuation       Divisional       Continuation-in-part (CIP)  
 Of Prior Application No.: \_\_\_\_\_ Examiner \_\_\_\_\_ Group Art Unit \_\_\_\_\_  
 (which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
 which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**Applicant(s):** Also include a Preliminary Amendment to amend the specification to claim priority.  
**For CONTINUATION AND DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is  
 the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an  
 assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_  
 (or a copy of which is attached).

**19. Correspondence Address**  
 Customer Number or Bar Code Label \_\_\_\_\_  
 or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
 Correspondence Address Below  
 NAME Florin Corie

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard  
Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE): Florin Corie Registration No.: 46,244  
 Signature: Corie Date: July 3, 2001

**FEE TRANSMITTAL FOR FY 2001****TOTAL AMOUNT OF PAYMENT (\$)** \$1,074.00**Complete if Known:**Application No. \*\*\*\*\*Filing Date HerewithFirst Named Inventor Ravi Gauba, et al.Group Art Unit \*\*\*\*\*Examiner Name \*\*\*\*\*Attorney Docket No. 80398.P448**METHOD OF PAYMENT** (check one)

- [ X ] The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
 Deposit Account Name       

- [ X ] Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- [   ] Applicant claims small entity status. See 37 CFR 1.27

2. X Payment Enclosed: X Check  
       Credit Card  
       Money Order  
       Other

**FEE CALCULATION****1. BASIC FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee Code	Fee (\$)	Fee Code (\$)	
101	710	201	Utility application filing fee
106	320	206	Design application filing fee
107	490	207	Plant filing fee
108	710	208	Reissue filing fee
114	150	214	Provisional application filing fee
<b>SUBTOTAL (1)</b>			<u>\$ 710.00</u>

**2. EXTRA CLAIM FEES**

<u>Total Claims</u>	<u>Independent Claims</u>	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
38	3	- 20** = 18	X 18.00	= 324.00
		- 3** = 0	X 80.00	= .00
				=

\*\*Or number previously paid, if greater; For Reissues, see below.

**Large Entity Small Entity**

<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Description</u>
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** \$324.00

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee		
Code	(\$)	Code	(\$)
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	390	216	195
117	890	217	445
118	1,390	218	695
128	1,890	228	945
119	310	219	155
120	310	220	155
121	270	221	135
138	1,510	138	1,510
140	110	240	55
141	1,240	241	620
142	1,240	242	620
143	440	243	220
144	600	244	300
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
146	710	246	355
149	710	249	355
179	710	279	355
169	900	169	900
195	300	195	300
196	300	196	300
194	130	194	130
098	130	098	130
091	1,240	091	1,240
<b>Other fee (specify)</b> _____			
<b>Other fee (specify)</b> _____			
<b>SUBTOTAL (3) \$ 40.00</b>			

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**

Typed or Printed Name: Florin Corie

Signature: Corie Date: July 3, 2001

Reg. Number: 46,244 Telephone Number: 408-720-8300

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

"Express Mail" mail

<p><b>ExpressMail® mailing label/number:</b> <u>E L 371005914 US</u></p> <p><b>Date of Deposit:</b> <u>7/30/</u></p> <p>I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231</p> <p style="text-align: right;"><u>Christopher J. McHugh</u></p>	<p>(Typed or printed name of person mailing paper or fee)</p> <p><u>Christopher J. McHugh</u></p> <p>(Signature of person mailing paper or fee)</p> <p><u>7/30/</u></p> <p>(Date signed)</p>
--	--

Serial/Patent No: \* \* \* \* \*  
 Client: SONY ELECTRONICS, INC.  
 Title: INTERACTIVE DECISION-MAKING SCENARIOS IN AN AUDIO/VIDEO  
 BROADCAST BSTZ File No.: 80398.7448 Date Mailed: 7/3/01

Filing/Issue Date: 7/3/01 Atty/Secty Initials: MES/FAC/JB Docket Due Date:  
 Amended/Response (\_\_\_\_ pgs.)  Appeal Brief (\_\_\_\_ pgs.) (in triplicate)  
 Application - Utility (\_\_\_\_ pgs., with cover and abstract)  Application - Rule 1.53(b) Continuation (\_\_\_\_ pgs.)  
 Application - Rule 1.53(c) Divisional (\_\_\_\_ pgs.)  Application - Rule 1.53(e) CIP (\_\_\_\_ pgs.)  
 Application - Rule 1.53(d) CPA Transmittal (\_\_\_\_ pgs.)  Application - Design (\_\_\_\_ pgs.)  
 Application - PCT (\_\_\_\_ pgs.)  Application - Provisional (\_\_\_\_ pgs.)  
 Assignment and Cover Sheet  Certificate of Mailing  
 Declaration & POA (\_\_\_\_ pgs.)  Disclosure Dues & Org & Cpy of Invention Signed Letter (\_\_\_\_ pgs.)  
 Drawings: 5 # of sheets includes 5 figures  Fee Transmittal, in duplicate (Exhibit A)  
 Other: \_\_\_\_\_

The following has been received in the U.S. Patent & Trademark Office:  
 Business Mail Address (\_\_\_\_ pgs.)  Notice of Extension of Time  
 Communication Received by 7/1/01 (\_\_\_\_ pgs.)  Check No. \_\_\_\_\_  
 Filing Fee Transmittal  Preliminary Amendment (\_\_\_\_ pgs.)  
 Notice of Appeal  Reply Brief (\_\_\_\_ pgs.)  
 Position for Extension of Time  Response to Notice of Missing Parts  
 Postcard  Small Entity Declaration for Index, Inventor/Small Business  
 Power of Attorney (\_\_\_\_ pgs.)  Transmittal Letter, in duplicate (Exhibit A)  
 Preliminary Acknowledgment (\_\_\_\_ pgs.)  Fee Transmittal, in duplicate (Exhibit A)